

Virginia Department of Medical Assistance Services
Civil Monetary Penalty Funds

-GUIDELINES AND INSTRUCTIONS-

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Introduction

The Civil Monetary Penalties (CMP) Fund is a federal fund collection of imposed penalties against certified nursing facilities deemed in non-compliance. These funds are used for projects that directly benefit individuals in a nursing facility.

States must receive final approval from the U.S. Centers on Medicare & Medicaid Services (CMS) for the use of the CMP funds.

In Virginia, entities requesting CMP funds for a project must submit the request to the Virginia Department of Medical Assistance Services (DMAS). DMAS will review applications and make recommendations for funding prior to any submission to CMS for its final approval.

Allowable and Prohibited Uses

ALLOWABLE	PROHIBITED
<ul style="list-style-type: none">• Assistance to support and protect individuals in a facility that closes (voluntarily or involuntarily) or is decertified (including offsetting costs of relocating individuals to home and community-based settings or another facility)• Projects that support individual and family councils and other consumer involvement in assuring quality care in facilities• Facility improvement initiatives approved by the Secretary (including joint training of facility staff and surveyors, technical assistance for facilities implementing quality assurance programs, the appointment of temporary management firms, and other activities approved by the Secretary of U.S. Health and Human Services)	<ul style="list-style-type: none">• Making capital improvements to a facility• Fund for items or services that are already the responsibility of the nursing facility• Projects or activities intended to achieve compliance• Funding projects, items or services that are not related to improving the quality of life and care for individuals residing in a nursing facility• Projects for which a conflict of interest or the appearance of a conflict of interest exists• Long term projects (greater than 3 years)• Temporary manager salaries [broad use]• Supplementary funding of federally required services• Ombudsman Salaries

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Application Process

Eligible applicants include: licensed and Medicaid-certified nursing facilities, healthcare systems, state agencies, for-profit or non-profit organizations, provider associations, and universities. Individuals are not eligible for CMP funds. If you would like confirmation on if your organization is eligible to apply for CMP funds, please contact the CMP Program Analyst, Gabrielle Stevens (CMPFunds@dmass.virginia.gov).

The timeline for submitting new applications for projects beginning September 1, 2018 will be Monday, April 2, 2018 to Friday, April 27, 2018.

Applications received prior to April 2, 2018 will need to be resubmitted utilizing the process outline. Applications received before Monday, April 2, 2018 or after 2:00 pm on Friday, April 27, 2018 shall not be considered in this funding round.

The application process involves the submission of a Request for Funding Cover Sheet and a formal Project Application. It is strongly encouraged that you use this guideline when completing a Project Application, as well as the RFA posted to the website.

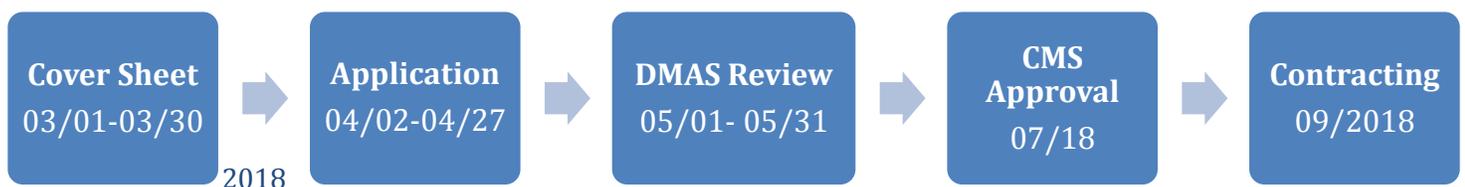
(http://www.dmass.virginia.gov/Content_pgs/lrc-cmp.aspx)

The contents of the Project Application are detailed below. Both documents shall be submitted electronically to the CMP Program Analyst, Gabrielle Stevens at CMPFunds@dmass.virginia.gov.

DMAS shall conduct an initial review of all applications. DMAS shall review the applications and make decisions on projects that shall be recommended for funding to CMS no later than May 31, 2018. During the reviews, DMAS shall use the CMP Fund Proposal Scoring Rubric. While reviewing applications, DMAS may submit to applicants a "Request for Additional Information (RAI)". Applicants who receive an RAI shall respond as soon as possible to ensure the review process is not delayed.

DMAS shall submit approved applications and recommendations to CMS. CMS shall provide feedback to DMAS on the status of the CMP project funding recommendations within 45 calendar days of receipt. Recommended applications are reviewed by CMS in the order in which they are received. CMS may approve the request, deny the request, or ask that additional information be provided.

CMS has the ultimate and final decision for funding. Requests for funding that are denied by DMAS or CMS are not subject to appeal rights.



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Funding Parameters

Within the scope of allowable uses of CMP funds, DMAS further categorizes projects into the following focus areas:

- Training/ Education;
- Direct Improvement to Quality of Life;
- Individual or Family Councils;
- Consumer Information;
- Managed Care Value Based Purchasing Strategies; and
- Other (must be specified).

Projects not fitting into one of the first five areas may be considered “Other”. Applicants shall provide sufficient descriptions of the project to provide reviewers clarity in how it benefits individuals in nursing facilities.

Allowable project periods cannot exceed three (3) years. Federal guidelines for CMP funds prohibit extensions, including no-cost extensions.

Applicants are encouraged to explore opportunities for in-kind or matching contributions for a project. While not required, these reflect an investment on the part of the applicant to commit to the project and all deliverables.

While also not required, applicants are encouraged to partner with other organizations and entities in long-term care. Partnerships allow for an expanded impact and reflect a broader understanding and integration with improving nursing facility care.

General Requirements for Funded Projects

If approved for CMP funds, applicants shall be required to complete and submit:

- Either:
 - 1) an Interagency Agreement (if another state entity); or
 - 2) a contract with DMAS.
- Monthly Invoices for Reimbursement
- Quarterly Project Updates to DMAS
- Final Report and Presentation of Findings and Recommendations
- Additional Requirements for Contracts, Data Reporting, and Outcomes

*DMAS shall determine the format and guidelines for the above items.

NOTE: No funds shall be released to the applicant without a complete and signed interagency agreement or contract. Applicants shall not receive retroactive reimbursement for expenses incurred prior to a signed interagency agreement or contract. If approved, applicants are

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highly encouraged to seek and receive written confirmation from DMAS detailing when funds can be expended.

Applicants are also required to review and submit:

- CMS Conflict of Interest Prohibition Statement
- CMS Attestation Statement

*CMS has a predetermined format for the above items; and they are outlined in the Project Application.

More information on the contracting process and requirements will be made available to applicants who receive approval and funding for their projects. If an applicant has a question about the contracting process and/or contracting requirements, please contact: CMP Program Analyst, Gabrielle Stevens at CMPFunds@dmas.virginia.gov.

Project Proposal – General Formatting

Project proposals shall be: typed, single-spaced, and in Times New Roman 12-point font.

The header of each page shall include the organization name. The footer of each page shall include the page number.

The entire project proposal, including appendices, shall not exceed 10 pages (not including the Request for Funding Cover Sheet).

Projects of varying complexity shall be considered. It is the expectation of DMAS that projects requesting larger amounts in funding shall reflect sufficiently detailed and comprehensive project information in regards to how funds will be utilized.

Below are some tips for preparing your project application:

- *Be clear and concise.* Provide accurate information, including accounts of problems and realistic plans to address them. Make sure the information provided in any tables, charts, attachments, etc. is consistent with the proposed narrative and information in other tables.
- *Be organized and logical.* Reviewers shall be able to easily follow the flow of the application.
- *Carefully proofread the request.* Ensure spelling and grammar errors do not inhibit reviewers' ability to read and interpret the request.
- **Number every page to ensure compliance with the 10-page allowance.**
- Be sure to keep use of abbreviations and acronyms to a limit, and define them at first use.
- *Complete all sections of the application.* Incomplete application shall not be funded.
- If you have any questions or concerns, you may contact the CMP Program Analyst, Gabrielle Stevens at CMPFunds@dmas.virginia.gov.

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Project Application – Specific Guidelines

All project applications shall include the following identified sections:

APPLICATION ITEM	ADDITIONAL ELEMENTS
Title	
Abstract (250 words or less)	
Project Purpose and Summary	<ul style="list-style-type: none">• Background and Project Need• Goals and Objectives• Project Design and Approach• Benefits to Individuals• Non-Supplanting
Expected Outcomes	<ul style="list-style-type: none">• Outcomes• Deliverables and Dissemination• Sustainability
Results Measurement	<ul style="list-style-type: none">• Specific Measures• Methods for Measurement
Personnel & External Involvement	<ul style="list-style-type: none">• Consumer and Stakeholder Involvement in the Project• Involved Organizations• Defined Roles and Qualifications for Project Members
Timeline	
Budget	

Title

Give your project an appropriate and clear title.

Abstract

Include an abstract for your project that is 250 words or less. Note that the abstract may be used to share information with the public about your project.

Project Purpose and Summary

Background and Project Need

- Briefly present what the project aims to accomplish, for whom, and in collaboration with which partners.
- Highlight the mission of the applicant for which this request originates and how the applicant is positively contributing to the nursing facility community.
- Discuss the need for the project, identifying the relevant service gap areas for individuals in nursing facilities, and how individuals, families or caregivers will be served from this intervention.
- If applicable, provide a brief statement on the impact of previous projects that have improved the lives of individuals residing in nursing facilities.

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- As appropriate, briefly showcase how this project will optimize the use of partnerships and propose a method for expanding the range of collaborations to ensure that the program is reaching the greatest number of individuals as possible.

Goals and Objectives

Identify/list appropriate goals for the project and highlight/list expected outcomes from the project implementation.

Project Design and Approach

- Link the identified objectives with the project activities, describing how the project activities will result in fulfilled objectives.
- Detail how your project will specifically enhance the lives of individuals residing in nursing facilities.
- Articulate the approach to implementing the program.
- Discuss potential difficulties and obstacles that exist that may impact the success of the project and how the applicant will overcome these obstacles.
- Discuss how your project approach is person-centered and evidence-informed or evidence-based.
- Detail the service delivery plan and program development.
- State the instruments and methods to be used in measuring and evaluating outcomes.
- Outline the timeline and lay out a work plan this is clear and comprehensive and that covers all years of the proposed project.

Benefits to Individuals

- Specify how the project and its goals directly benefit the lives and quality of care of individuals residing in nursing facilities.
- Be explicit about why this intervention is important and which unmet needs can be addressed through the project implementation.
- Address the impact it is expected to have on caregivers and how the sustainability of project efforts will positively affect the nursing facility community as a whole.

Non-Supplanting

- Ensure that the project will not supplant existing responsibilities of the NF to meet CMS requirements or other statutory and regulatory requirements.
- Indicate and attest to how the project efforts, with regards to the use of personnel and time commitments, will not interfere with the care obligations and oversight expected of normal everyday facility activities.

Expected Outcomes

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Outcomes

- Identify/list the measureable outcomes that are expected to result from the implementation and completion of this project.
- Detail how the anticipated final outcomes will contribute to the field as a whole.

Deliverables and Dissemination

- List project deliverables expected to be accomplished given the success of the project.
- Describe the means in which the project results are to be disseminated and to what target audience the information would be useful.
- Identify project material to be used in disseminating project information (i.e. conference presentations, web-based methods, media outreach, etc.).
- Will the information be used to further educate state and local partners? Does the project aim to use the results to inform state regulation and best practices, program and policy development?

Sustainability

- Describe the plan to be used to further develop the program should efforts continue after the approved timeline of the grant.
- Identify resources and avenues through which program activities can continue after CMP funding has ended.

Results Measurement

- Design and detail the plans and procedures for gathering the necessary information to be used to evaluate and measure the success of the goals and outcomes. The plan and procedures shall be practical in approach and be designed to determine the effectiveness of the project. It shall also provide evidence for discussion in the program evaluation, interim reporting and final reporting.
- Plan and procedures shall:
 - Identify how each specific outcome will be measured for success.
 - Identify measurement instruments or various metrics to be used in determining impact of program outcomes.
 - Describe how the data will be analyzed and how it is manageable for the applicant.
 - Include information on any required Institutional Review Board (IRB) approvals.

Please Note: Outcomes are different from outputs. Outputs are often just a reflection of the number of people served or number of trainings conducted. Outcomes are measurable, observable impacts that go further than outputs or result in the development of a new and successful model of services, training, or other tangible product. Outputs can be noted and included in a project proposal, but shall not be used in place of outcomes.

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Personnel and External Involvement

Consumer and Stakeholders

Consumers and stakeholders shall be a part of the project planning and evaluation plan.

- Identify the involvement consumers and stakeholders will have with the project.
- Detail the responsibilities these groups will have throughout the project and be sure to specify for which decision their input is required.
- Clearly articulate opportunities the project has for supplementary and supportive services that can enhance and strengthen the existing system.

Involved Organizations

- Identify the organizations, groups or individuals this intervention intends to partner with and define the roles and responsibilities of those entities.
- Be sure to include letters from participating organizations, as appropriate, that express their clear commitment to their agreed upon responsibilities.

Defined Roles and Qualifications of Project Members

- Detail the roles and responsibilities of project staff, consultants and partners, and how they relate to specific project objectives and tasks.
- Highlight the capabilities of proposed project directors and key staff members and how their background and experience working with nursing facilities deems them qualified to carry out their designated roles.
- State the necessary time commitments key project members are required to allocate towards the success of the project.

Timeline

- Include a timeline and work plan based on the total number of years the project expects to receive funding.
- Detail the phases to take place throughout the project.
- The timeline shall be logical and realistic for completing the project.
- Timeline shall include a breakdown of monthly activities and who is responsible for each activity.

Budget

- The budget shall be presented in line-item format using Microsoft Excel detailing each project use of the funds.
- All costs associated with the implementation and completion of the project shall be identified in the budget, to include administration costs, personnel payroll and supplies, in addition to any other appropriate uses.
- The line-item budget shall be consistent with the work plan objectives and personnel involvement.

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- The budget shall calculate amounts to be used for the entire timeline of the project.
- Each line-item cost shall include a justification (how you arrived at the overall cost).
- Any in-direct costs included shall be based on a federally-negotiated, reasonable rate and evidence for the rate shall be provided as part of the proposal.
- Include all fund matching and in-kind contributions.

Forms

The following forms are used for receiving and evaluating CMP project proposals:

- CMP Request for Funding Cover Sheet
- CMP Request for Funding Project Application
- CMP Project Proposal Guidelines and Instructions
- CMP Proposal Scoring Rubric

DMAS CMP Fund Webpage

Within the DMAS Division for Aging and Disability Services (DADS) tab, a webpage for “CMP Funds and Projects” shall be created. On the webpage the following information shall be posted:

- Virginia Annual Plan for CMP Funds (as required by CMS)
- CMP Medicaid Memo
- CMP Request for Funding Cover Sheet
- CMP Request for Funding Project Application
- CMP Project Application Guidelines and Instructions
- CMP Application Scoring Rubric
- CMP Application Timeline
- CMP FAQs
- Abstracts and information on previously funded projects

The webpage shall be integrated with the “NF Quality Improvement” webpage that already exists and can be found here: **TBD**

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Scoring Applications

Applications shall be scored using the rubric found below.

	Strengths	Weaknesses	Comments	Score
Abstract				___/5
Project Purpose and Summary Background and Project Need Goals and Objectives Project Design and Approach Benefits to Individuals Non-Supplanting				___/20
Expected Outcomes Outcomes Deliverables and Dissemination Sustainability				___/20
Results Measurement				___/20
Personnel and External Involvement Consumers and Stakeholders Involved Organizations Defined Roles and Qualifications of Project Members				___/15
Timeline				___/10
Budget				___/10
Total Score				___/100